



**Ministry of Drinking Water and Sanitation
(Stat Cell)**

**Guidelines
For
Institutional National Level Monitors
(Institutional NLMs) For Monitoring NRDWP
and SBM (G)
Schemes of Ministry of Drinking Water &
Sanitation**

July, 2017

PREFACE

The Ministry of Drinking Water and Sanitation (MoDWS) implements two centrally sponsored schemes viz., National Rural Drinking Water Programme (NRDWP) for providing safe drinking water and Swachh Bharat Mission (Grameen) [SBM-G] for providing improved Sanitation facilities in the rural areas of the country. Rural drinking water and sanitation are State subjects. Therefore, the Ministry releases funds to the States/UTs for implementing the centrally sponsored schemes for which detailed guidelines have been framed by the Ministry. Ministry recognizes the importance of regular independent monitoring of its programmes. Keeping this in view, the Ministry has decided to have its own independent **Institutional National Level Monitors (Institutional NLMs)** for an unbiased and objective monitoring of NRDWP and SBM (G) scheme of the Ministry.

1. Introduction:

- 1.1. Provision of safe drinking water and improved sanitation, for all, in rural areas is one of the fundamental responsibilities of Ministry of Drinking Water & Sanitation. Water, Sanitation and Health has direct relationship. Consumption of unsafe drinking water, improper sanitation practices or improper environmental sanitation and lack of personal and food hygiene are the major cause of many diseases in developing countries.
- 1.2. Ministry of Drinking Water & Sanitation implements two flagship programmes namely National Rural Drinking Water Programme (NRDWP) and Swachh Bharat Mission (Gramin). Water and Sanitation are State subjects. The Ministry provides financial and technical assistance to State/UT Governments in their efforts to provide safe drinking water and sanitation by way of its two flagship programmes.
- 1.3. The Ministry evaluates its programmes through Monthly Progress Reports, Management Information System, Annual, Quarterly Review Meetings, field visits and Video Conferencing with States/UTs etc. However, the Ministry fully recognizes the importance of independent monitoring also. Keeping this in view, the Ministry has decided to have its own independent Institutional National Level Monitors (Institutional NLMs) for an unbiased and objective monitoring of its schemes in a systematic and regular manner.

2. Monitoring by Institutional NLM:

The Institutional NLMs would be deputed for regular monitoring to monitor and report on various aspects of implementation of schemes of Ministry of Drinking Water and Sanitation on half yearly basis, in other words two times in a year. In each half year, each NLM would be assigned to visit few districts. In every allotted district, the Institutional NLM(s) are required to visit 6 villages the district. They will interact with the beneficiaries to find out the impact of the schemes at the grass-root level. The objectives of this monitoring are to ascertain:

- Whether the programmes of the Ministry are being implemented in accordance with the guidelines prescribed by the Ministry.
- Whether the selection of beneficiaries under the programme has been transparent, unbiased and fair.
- Whether the prescribed implementation processes are being followed.
- Whether the assets created are of the prescribed quality and useful to the community.
- Filed level verification of Integrated Monitoring and Information System (IMIS) data.
- Causes for non-implementation of the schemes as per the guidelines (if not implemented properly)

- Shortcomings in implementation and possible remedy
- The views of the villagers on the programmes and their suggestions for improvement.
- Views of local experts (if available) other than the views of common people
- Adopted questionnaire may include few more aspects and envisaged workload on data collection on these schemes may increase three-folds.

3. Empanelment of Institutional NLMs:

3.1 As a starting point, the willing NLM institutes out of Institutional NLMs which are already empaneled with MoRD will be empaneled for this purpose.

4. Orientation and Training:

4.1 The Ministry will provide proper orientation and training to Institutional NLMs to make them well-versed with the Guidelines of Programmes and processes involved. For the newly empaneled Institutional NLMs, Induction training will be organized in which the two Joint Secretaries of the concerned Divisions are expected to participate.

4.2 Scheme specific questionnaire for this purpose would be developed which would also be regularly updated.

4.3 Whenever a new or updated questionnaire is introduced, special training would be arranged for the Institutional NLMs before taking up actual monitoring work.

4.4 Post-training assessment shall be done to assess the effectiveness and impact of the training. The findings of this assessment would be used to design and improve the training modules for future.

4.5 Regular orientation workshops would be organized every year, at national or regional levels so as to keep the Institutional NLMs appraised of the latest changes and trends in the programmes. The Institutional NLMs would be kept updated through E-Mail/ web-site of the Ministry on relevant instructions, circulars and any other important information.

4.6 The State Government officers/Nodal officers would also be invited to participate in the training sessions/workshops and encourage to interact with the Institutional NLMs.

5. Responsibility of Institutional NLMs:

5.1 The Institutional NLMs are the third party independent monitors for the programmes of Ministry of Drinking Water and Sanitation. The personnel engaged by the institutions have to be experts / professionals in the field of drinking water and sanitation.

- 5.2** The Institutional NLMs are required to visit the districts, ascertain the implementation of the programmes vis-à-vis the guidelines, interact with officials, verify the assets created and interview villagers/ local experts if available and submit their reports within the prescribed time frame. However specific dates/timelines will be informed to the Institutional NLMs at the time of allotment of districts to them.
- 5.3** The NLM will chalk out their final programme (dates / days of visits) in advance and inform the concerned District Authority / DRDA/ PHE with copies endorsed to the Secretary in charge of Rural Water Supply and Sanitation of the State and to the Ministry at least 15 days before the actual date of the visit.
- 5.4** Before proceeding to the field, the Institutional NLMs should access the MIS system of both the schemes as they are actually functioning and gather relevant data.
- 5.5** Institutional NLMs shall begin their visit to the District with an Entry Meeting with the District Collector/ CEO ZP and other district level officials implementing the programmes. Institutional NLMs will explain the purpose, approach and scope of their visit to the District officials. The District officials may be apprised of the visit plan and requested to keep the required information ready at the District and at the sample villages to be covered by the NLM. At the completion of the visit there will be an Exit Meeting to discuss with the district officials on the provisional findings, areas of good performance and areas for improvement. Institutional NLMs shall record the views/feedback of the officials on their findings and also include them in the report.
- 5.6** The Institutional NLMs deputed to a State should also interact with the Secretary or Senior Officers in-charge of Rural Water Supply and Sanitation Schemes in the State to the extent possible.
- 5.7** Institutional NLMs will earmark one or two hours, preferably on each day when they are available in a district/block, to meet complainants/general public. The district officials will publicize widely, in advance, the field visit programme of the Institutional NLMs, their place of stay, contact telephone number and earmarked time schedule to meet the visitors so that the general public interested in interacting with Institutional NLMs may do so and provide feed-back about the implementation of the rural development programmes in the district.
- 5.8** The visit may be planned keeping in view the quantum of work and the number of days for the visit will be decided accordingly. Generally, a regular monitoring visit to a district should be restricted to maximum 6 days (excluding journey period).

6. Deployment of NLMs:

- 6.1 The Institutional NLMs will be deployed for regular monitoring twice in a year by the Ministry. In each phase around half of all the districts will be covered so that all the districts of the country are covered in a year.
- 6.2 The Institutional NLMs may be deputed to visit the districts of neighboring States, but will not be deputed to their home State.
- 6.3 The Institutional NLMs will not be allotted districts visited by them during the previous years.

7. Methodology and Reporting:

- 7.1 A set of guidelines and instructions would be provided to the Institutional NLMs at the time of deputing for an assignment. These would include details about the sample to be covered, methodology to be followed and instructions to fill the questionnaire. Customized Check-list for inspection and the reporting format will be provided to the Institutional NLMs.
- 7.2 A D.O. letter from the DDG (Statistics) clearly mentioning the details of the visits of NLM, would be sent well in advance to the State and District Authorities so that they must provide time to Institutional NLMs for pre & post visit briefing.
- 7.3 The visiting Institutional NLMs are required to submit a report to the Ministry for the districts allotted. The report should be concise with an executive summary of not more than 2-3 pages giving key findings and actionable points.
- 7.4 The detailed report should contain key issues related to the different components of the programmes such as:
 - Awareness and reach of the programmes & its implementation
 - Community involvement in planning & implementation
 - Selection processes of beneficiaries and works
 - Financial management – release and flow of funds; utilization of funds
 - Technological issues, skill up-gradation & training
 - Quality of construction, operation & maintenance of assets
 - Transparency in Implementation Process
 - Role & performance of Panchayati Raj Institutions, VWSCs, functionaries
 - Coverage and reach of the programmes in respect of SC/ST, Women and other marginalized sections of the society.
 - Any other points relevant to the schemes and future course of actions.
- 7.5 In case of any serious irregularity observed by the NLM, complete information like name of asset/beneficiary, village name, address, time of the event and other

necessary details along with the photographs etc. should be provided so as to enable necessary follow up/corrective action.

- 7.6** The NLM should submit report within 15 days of completion of visit. However, each NLM is required to submit complete report for the districts assigned to him by the 10th of the fourth month of a particular half year positively.

8. Follow-up Action:

- 8.1** All the actionable points contained in the NLM reports for a State will be collected and a single report with an executive summary of not more than 2-3 pages giving key findings and actionable points will be brought out so that follow up action can be taken up at the State and Government of India level. Ministry will obtain the Action Taken Reports thereafter from the States.
- 8.2** The Concerned Divisions will take follow-up action on all NLM reports. In complaint cases, the action taken by the Concerned Divisions will be put in the public domain by publishing on the website of the Ministry. While the corrective/penal action in many cases is to be taken by the State Government concerned, the concerned Division will put in place some mechanism to ensure that the States do take action promptly. If any complaint is substantiated by the NLM, the concerned Division is to satisfy itself with the action taken by the State. If no satisfactory action is taken by the State/district for more than one full financial year, further release of funds to such State/district under the particular Scheme can be withheld.
- 8.3** The position of complaints and action taken will be considered by the concerned programme divisions while processing the files for release of funds.
- 8.4** Ministry will organize regular workshops with concerned State Governments officials in that region to discuss the findings of the NLM reports after each phase of visit.
- 8.5** Every NLM need to present the observations of the visits in a formatted manner through a power point presentation in the workshop. The presentation should be specific and supported by documents, photograph, etc.

9. Role of State Government:

- 9.1** The State Government Officials should ensure that the District Collector / Chief Executive Officer concerned devote time to interact with the Institutional NLMs at the beginning as well as at the end of the visit.
- 9.2** If there are different implementation agencies for the two programmes in the States the Action Taken Report on the NLM report should be coordinated by a

senior officer in the state not below the rank of Joint Secretary.

- 9.3** The Reports of the NLM will be forwarded to the State Government so that they can look into the issues highlighted in the report and identify the actions to be taken. They should also take corrective actions, wherever required.
- 9.4** The reports of the NLM will also be discussed in a follow-up workshop where they can interact with the Ministry officials on the identified issues and action taken.
- 9.5** The findings and ATRs would be discussed with the State Governments in the PRC meetings.

10. Role of District Collectors/CEO ZPs:

- 10.1** The District Collectors/CEO ZPs should ensure cooperation with the Institutional NLMs and arrange for facilitating a smooth and timely completion of their visits to the district.
- 10.2** As explained in Para 5.5, an Entry Meeting with the District Collector/ CEO ZP and other district level officials will be made by the NLM. Similarly, at the completion of the visit there will be an Exit Meeting to discuss with the district officials on the provisional findings.
- 10.3** All the information required by the Institutional NLMs for the purpose of their monitoring should be collected, duly cross checked and provided to them so as to ensure timeliness, correctness and reliability of the reports.
- 10.4** All logistical support as deemed necessary and within the guidelines prescribed by the ministry shall be provided to the extent possible. If the NLM is not provided/not availed transport/ lodging facility, a certificate to this effect shall be given to the NLM so that they can claim the reimbursement of the same from the Ministry.

11. Performance Appraisal of Institutional NLMs:

- 11.1** The performance of each institutional NLM will be assessed annually and graded by the screening committee of selection of NLM on prescribed parameters (Annexure-I).
- 11.2** An undertaking will have to be obtained from the members of the Assessment Committee that they do not have any association with any empaneled NLM.
- 11.3** The committee will grade the Institutional NLMs on the following criteria:
 - (i)** 75 percent weightage will be given to the reports submitted by the Institutional NLMs

(ii) Remaining 25 percent will be for the presentation made by Institutional NLMs during workshops. During their presentation, the Institutional NLMs may be graded on the following parameters:

- Quality of analysis
- Quality of suggestions
- Content
- Clarity of issues and specificity

(iii) The committee may bring in more criteria or use other criteria for assessment.

11.4 The Institutional NLMs who get less than 70% in the provisional grading will be removed from the panel and the border line cases where the Institutional NLMs score 70-75 % will be issued warning for taking necessary remedial action.

11.5 Grading of Institutional NLMs on each assignment will be maintained in a database to enable an overall ranking of Institutional NLMs which can be used for deputing them for future special assignments and disengaging the ones who are not up to the mark.

12. Code of Conduct to be followed by NLM:

12.1 Unsubstantiated and subjective observations must be avoided.

12.2 Hospitality from the state government & / or any other organizations / officials / other individuals must be avoided.

12.3 No public statement should be made.

12.4 The Enquiry reports should not be shared with State / District / PRI administration or public.

12.5 No inconvenience to the public should be caused.

12.6 They should not cause any embarrassment to the State / district / village officials or to general public during the visit.

12.7 The integrity of the Institutional NLMs should be beyond any doubt.

12.8 The NLMs who violates the code of conduct will be removed from the panel.

13. Terms and Conditions of Service of Institutional NLMs:

13.1 The terms and conditions of service of Institutional NLMs on TA / DA, Honorarium etc. are as per **(Annexure – II)** which will be revised from time to time.

Annexure I

Assessment of Institutional NLMs for the year

Part I - NLM visit details – to be filled in by NLM

1.1 – NLM Particulars

NLM Code:	NLM Name:
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1.2 Details of visits for regular Monitoring

Name of State	Name of district	Dates of visit	Date of Report Submission

1.3 Details of visits for Special Monitoring / enquiry (If any)

Name of State	Name of district	Dates of visit	Date of Report Submission

1.4 Overall assessment by the NLM about the monitoring work (not more than 150 words)

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Part B – to be filled in by the Assessment Committee

2.1 – Adherence to Reporting Guidelines

Sl. No.	Description of work	Max. marks	Marks obtained
1	Coverage of all the sample villages	5	
2	Field work done within the time limit	5	
3	Data collected in the format for all available schemes in the village	10	
4	Reports completed in time	10	
5	Coverage of all chapters prescribed in the reporting format	10	
Total (2.1)		40	

2.2 – Assessment on quality of report

Sl. No.	Description of work	Max. marks	Marks obtained
1	Clarity of languages in the report	10	
2	Quality of discussions with the villagers/ functionaries and reporting	5	
3	Whether issues related to Financial Management have been included in the report	5	
4	Details of coverage reach of the programme in respect of SC/ST and women	5	
5	Clear presentation of field level findings in the report	10	
6	Case Study / success stories in the report	10	
7	Supporting documents like photographs / local reports, etc.	10	
8	Issues related to Village Level Programming/Social Audit	5	
Total (2.2)		60	
Total marks obtained in (2.1 + 2.2) out of 100			T₁ =

2.3 – Assessment on quality of Presentation during dissemination workshop

Sl. No.	Description of work	Max. marks	Marks obtained
Presentation of facts and findings clearly			
1	Content	20	
2	Quality of Analysis	10	
3	Clarity of issues & specificity	10	
4	Quality of Suggestions	10	
Total (2.3)		50	T₂ =

Marks obtained: (75% of T₁ + 50% of T₂) =

Annexure-II

Subject: Consolidated Terms and Conditions for reimbursement of TD/DA, Monitoring charges etc. to Institutional National Level Monitors (NLMs).

All NLMs are to submit TA/DA etc. bills by the 20th of fourth month of that half year. If the complete report is not submitted within the time limit as stated in para 7.6, no TA/DA etc. bill will be entertained.

All payments will be restricted to one person per village per day (i.e. Maximum one man day per village). Only one person is allowed to visit a particular district. Only one time to and fro travelling allowance and other charges will be admissible for one visit. The NLMs are required to visit the allocated district(s) and furnish a comprehensive and crisp report to the Ministry within the stipulated time as per the directives issued by the Ministry from time to time. As per the terms and conditions, the NLMs are required to be reimbursed TA/DA and other charges for providing monitoring services to the Ministry on submission of their original bills in the prescribed format (Annexure-III). The rates of remuneration and other monitoring charges to the NLMs (**subject to the approval**) as approved by IFD under:-

A. Journey by Air/Rail/Road :-

- (i) The NLMs are entitled to travel by air by AIR India in Economic Class cheapest fare by shortest route. The distance involved should not be less than 500 Kms, and the reimbursement shall be subject to production of air tickets along with original boarding passes.
- (ii) If the NLM chooses to travel by train / road by public transport or taxi/car, he will be reimbursed the actual fare paid or 2nd AC Class fare of mail/express train, whichever is less. Tatkal Sewa journey by train should normally be avoided. However, if it is availed of, reasons/justifications for availing of the same should be given in the TA bill. The aspect of dynamic fare of Rajdhani/ Shatabdi trains as well as Premium tatkal ticket would be addressed on the same lines from time to time as prescribed by GoI. **NLMs may travel by Air (any private airline) but the reimbursement would be restricted to 2nd Class AC fare of mail/express train.**
- (iii) If any NLM travels by his own car, the reimbursement will be restricted to the fare of 2nd AC Class fare of mail/express train, whichever is less. However, **prior approval of the competent authority in the Ministry is required to be obtained by the NLM before travelling is done by his /her own car.**

B. Local Transport Charges

- (i) The NLMs will be reimbursed actual expenses incurred by them in travelling from residence to Railway Stations/Airport and back and railway station/airport to destination and back subject to production of **original bills in support of claim.** However, the reimbursement will be restricted to prescribed Government rates
- (ii) If NLM hires a vehicle for field visit from one village/block to another village/block, actual cost will be reimbursed subject to production of original bill(s) countersigned by the District Authorities (with rubber stamp) of the district being visited by the NLM and a Certificate form the District/State Authority/Agency to the effect that no official transport/vehicle was provided to the NLM during visit to the district. However, the reimbursement will be restricted to prescribed Government rates. **This will also require maintaining tour diary for field visit from one village/block to another village/block, which would be verified from the District/State Authorities.**
- (iii) **If any NLM travels by his own car for field visit** from one village/block to another village/block, the reimbursement will be restricted to prescribed Government rates. However, prior approval of the competent authority in the Ministry is required to be obtained by the NLM before travelling is done by his /her own car. To claim local transport charges, specific journey distance is required to be indicated in the appropriate column in the TA Form for timely settlement of claim.

C. Remuneration/Honorarium

NLMs would be given remuneration @ Rs 3,000/- per day (excluding journey period) for actual days of visits only, subject to fulfilment of condition of six hours spent in a day in the allotted village/GP/Block, which the NLM should self-certify. No remuneration would be payable if the absence from the district headquarter is less than six hours in a day. The NLMs are also required to submit Tour Diary verified from the District/State Authorities in the Ministry.

D. Duration of Visit

The duration of visit to a district for regular monitoring shall **ordinarily be maximum of 6 days**, excluding journey period.

E. Report Writing Charges

NLMs would be entitled to claim report writing charges of Rs.3000/- for preparation of report of one district subject to fulfilment of the following:

- (i) Separate report is required to be submitted for each district.
- (ii) The report should be neatly typed in a computer and duly bound.
- (iii) Soft copy of the complete report (in pen drive) should be handed over in the Ministry.
- (iv) Five copies of the monitoring report are required to be prepared and one copy should be sent to District Collector and four to the Ministry.

F. Accommodation/enforced halt charges

In case, arrangement for stay is made by District/State Administration in government guest house/rest house, the actual lodging charges would be payable. However, where no lodging arrangements are made by District/State Administration, NLM would be paid actual lodging charges restricted to Rs 2,500/- (including all taxes) per day/per head, subject to production of original bills and a certificate issued by the District/State Administration concerned that no accommodation was provided to the NLM by the District/State Administration. In case of enforced halt, where night halt is involved and is unavoidable, the NLM would be paid lodging charges of Rs. 2,500/- (one halt only) subject to production of a receipt of stay at hotel/retiring room etc. For Officers retired at the level of Additional Secretary to the Govt. of India and above, the ceiling will be 5,000/- per day of halt, for both enforced halt and normal halt.

G. Journey DA

National Level Monitor will be paid journey DA @ Rs.500/- per day per head provided the travel journey is more than six hours and no field work remuneration is claimed on that day.

H. Managerial Cost

Institutional NLMs will be paid an additional amount of Rs.7,000/- per report/district towards the managerial cost.
